

2014-111 AUDIT SCOPE AND OBJECTIVES

California Department of Public Health—Long-Term Health Care Facilities

AUDIT SCOPE AND OBJECTIVES

The audit by the California State Auditor will provide independently developed and verified information related to the California Department of Public Health's (Public Health) Licensing and Certification Division's (division) regulation of long-term health care facilities (facilities) and will include, but not be limited to, the following:

1. Review and evaluate the laws, rules, and regulations significant to the audit objectives.
2. For the last two years, identify the following for complaints filed by the public, complaints self-reported by facilities, and complaints filed against nursing assistants and home-health aides who are certified by the Professional Certification Branch within the division:
 - a. The number of complaints filed with the division and the proportion that the division investigated through on-site reviews.
 - b. The average duration of completed investigations, and for complaints related to those investigations, the percentage that were substantiated both on a statewide and district-office basis.
 - c. The number of investigations that have been open for two months, four months, six months, one-year, 18 months, two years, and three years or more.
3. Assess whether the division is meeting applicable state and federal requirements regarding the timely investigation of complaints.
4. Determine whether the division has an effective plan to eliminate the complaint backlog and investigate incoming complaints in a timely manner. Identify what changes in staffing the division has made, or needs to make, to achieve this purpose.
5. For a selection of investigations completed that addressed complaints that were backlogged for at least a period of six months, determine whether the division complied with state and federal requirements, as well as its own policies, regarding the quality of investigations.
6. For a selection of investigations that resulted in the complaint being classified as substantiated during the last two years, determine whether the division consistently applied its approach for reaching the substantiation.
7. Determine whether the division evaluates compliance with both state and federal facility standards during complaint investigations. If it does, determine the following for a selection of complaints filed during the last two years for which violations of such standards were identified:

- a. Whether the process for doing so is effective and efficient, including whether the division is taking appropriate enforcement actions.
 - b. Identify to what extent, if any, the degree of the enforcement actions vary by district office.
8. Determine whether the division failed to report on the timely investigation of complaints in its statutorily required annual licensing fee reports to the Legislature, and, if so, why.
9. Review and assess any other issues that are significant to the audit.